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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/734,693	12/13/2000	John Archer	CITI0140	6527
27510 7590 08/23/2007 KILPATRICK STOCKTON LLP 607 14TH STREET, N.W. WASHINGTON, DC 20005			EXAMINER COLBERT, ELLA	
			ART UNIT 3694	PAPER NUMBER
			MAIL DATE 08/23/2007	DELIVERY MODE PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No. 09/734,693	Applicant(s) ARCHER ET AL.	
	Examiner Ella Colbert	Art Unit 3694	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 05 April 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-30 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-30 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Claims 1-30 are pending in this communication filed 04/05/07 entered as Appeal Brief Filed.
2. In view of the Appeal Brief and Arguments filed on 4/05/07, PROSECUTION IS HEREBY REOPENED. New grounds of rejection as set forth here below.

To avoid abandonment of the application, appellant must exercise one of the following two options:

- (1) file a reply under 37 CFR 1.111 (if this Office action is no-final) or a reply under 37 CFR 1.113 (if this Office action is final); or,
- (2) initiate a new appeal by filing a notice of appeal under 37 CFR 41.31 followed by an appeal brief under 37 CFR 41.37. The previously paid notice of appeal fee and appeal brief fee can be applied to the new appeal. If, however the appeal fees set forth in 37 CFR 41.20 have increased since they were previously paid, then appellant must pay the difference between the increased fees and the amount previously paid.

Claim Objections

3. Claims 2 and 17 are objected to because of the following informalities: Claims 2 and 17 contain the acronym "OFAC". This acronym should be written as follows: Office of Foreign Assets Control (OFAC). Appropriate correction is required.

Claim Rejections - 35 USC § 102

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

Art Unit: 3694

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

5. Claims 1, 10-16 and 25-30 are rejected under 35 U.S.C. 102(b) as being anticipated by (US 5,995,979) Cochran.

As per claim 1, Cochran discloses, A method of searching financial transactions against a server-resident matchable text pattern file of sanctioned entities using a network, the network including a plurality of servers accessible by a plurality of user terminals, comprising: inputting at one of the plurality of user terminals a search request text pattern for searching the server-resident matchable text pattern file of sanctioned entities, the search request text pattern including a text string, the text string further including one or more regular expression operators, including letters, digits or punctuation marks to further define the search request text pattern and to further identify a server being invoked among the plurality of servers (col. 7, line 9- col. 8, line 44 and fig. 2); storing the search request text pattern as an entry in a search request instruction file, the search request instruction file being accessible by a server processor (col. 6, lines 6-10); transmitting the search request instruction file to the server processor invoked via the network (col. 6, lines 40-42, fig. 2); the server processor checking the search request text pattern, the checking including determining a match of the search request text pattern against the matchable text pattern file of sanctioned entities in the server (col. 6, lines 44-47); and upon execution of the search, transmitting search results to the one of the plurality of user terminals via the network (col. 7, line 55- col. 8, lines 65 and fig. 2 (42)).

As per claim 10, Cochran discloses, The method according to claim 1, further comprising: generating a user authorization code at the time the terminal user inputs a text pattern selection for checking against a sanctioned entity database (col. 6, lines 45-50); and storing the authorization code with the text pattern selection in the search request instruction file, wherein the authorization code must be received in order to access the server (col. 6, lines 53 - col. 7, lines 4).

As per claim 11, this dependent claim is rejected for the similar rationale as above for claim 10.

As per claim 12, Cochran discloses, The method according to claim 1, wherein matchable text pattern files are replicated between each server via the network (col. 5, line 49-col. 6, line 5 and fig. 1).

As per claim 13, Cochran discloses, The method according to claim 12, wherein matchable text pattern files are mutually updating via the network (col. 3, lines 45-52 and col. 8, lines 54-65).

As per claim 14, Cochran discloses the invention substantially as claimed with the exception of the server failure automatically routes search request instruction files to an alternate server. However, since Cochran discloses a communication link between users and remote servers in the communication network, the feature that the server failure automatically routes the search request instruction files to an alternate server is inherent in the system in order to retrieve a search result.

Art Unit: 3694

As per claim 15, Cochran discloses, The method according to claim 1, wherein the search request instruction file is generated by a computer program (col. 5, lines 56-64).

As per claim 16, this independent claim is rejected for the similar rationale as given above for corresponding claim 1. Corresponding claim 1 claims a method with steps that correspond to the system steps of claim 16.

As per claim 25, this dependent claim is rejected for the similar rationale as given above for corresponding claims 10 and 11.

As per claim 26, this dependent claim is rejected for the similar rationale as given above for corresponding claims 10, 11, and 25.

As per claim 27, this dependent claim is rejected for the similar rationale as given above for corresponding claim 12.

As per claim 28, this dependent claim is rejected for the similar rationale as given above for corresponding claim 13.

As per claim 29, this dependent claim is rejected for the similar rationale as given above for corresponding claim 14.

As per claim 30, this dependent claim is rejected for the similar rationale as given for corresponding claim 15.

Claim Rejections - 35 USC § 103

6. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the

invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

7. Claims 2-5 and 17-20 are rejected under 35 U.S.C. 103(a) as being unpatentable over (US 5,995,979) Cochran in view of "Compliance Solutions".

As for claims 2 and 17, Cochran failed to disclose, The method according to claim 1, wherein the server-resident matchable text pattern file includes the OFAC sanction list. "Compliance Solutions" teaches, The method according to claim 1, wherein the server-resident matchable text pattern file includes the OFAC sanction list (page 2). "Compliance Solutions" did not expressly disclose, "a server". However, Cochran discloses, a server (col. 6, lines 1-5 and fig. 1 (710) for matching a text pattern file list. It would have been obvious to one having ordinary skill in the art at the time the invention was made to combine Cochran's server-resident matchable text pattern file that includes a list with "Compliance Solutions" OFAC sanction list because this would allow Cochran to know that the institution sending and receiving payments to a person or entity is on the master list issued by OFAC in order to avoid paying a fine.

As per claims 3 and 18, Cochran discloses, The method according to claim 2, wherein servers are located in different countries (col. 6, lines 11-23 and fig 1 (750) – Internet).

As per claims 4 and 19, Cochran discloses, The method according to claim 3, wherein the server includes a plurality of matchable text pattern files including user defined sanction lists (col. 1, lines 30-37 and col. 8, lines 45-53).

As per claims 5 and 20, Cochran discloses, The method according to claim 4, wherein the search request instruction file further defines the matchable text pattern files to be searched (col. 6, lines 6-10).

8. Claims 6-9 and 21-24 are rejected under 35 U.S.C. 103(a) as being unpatentable over (US 5,995,979) Cochran and "Compliance Solutions" in view of (US 5,842,219) High, Jr. et al, hereafter High, Jr.

As per claim 6, Cochran and "Computer Solutions" failed to disclose, The method according to claim 1, further comprising: defining sanctioned entities as matchable text patterns; storing matchable text patterns as individual phrases; arranging individual phrases as a letter tree array; generating a search node for each character in the search request text pattern to be checked against matchable text patterns; comparing search nodes against characters and positions in the letter tree array; and determining whether a match occurs. High, Jr. discloses, defining sanctioned entities as matchable text patterns (col. 2, lines 35-51); storing matchable text patterns as individual phrases; arranging individual phrases as a letter tree array (col. 3, lines 37-47); generating a search node for each character in the search request text pattern to be checked against matchable text patterns (col. 5, line 65-col. 6, line 9 and fig. 4A); comparing search nodes against characters and positions in the letter tree array; and determining whether a match occurs (col. 6, lines 10-35 and fig. 4B). It would have been obvious to one having ordinary skill in the art at the time the invention was made to modify in Cochran in view of Cochran's teachings of multiple lists of search terms and

matching text patterns and because such a modification would allow Cochran to have an enhanced search capability within a object-oriented distributed computing network.

As per claim 7, Cochran and "Computer Solutions" failed to disclose, The method according to claim 6, wherein the search request instruction file includes a spell correct flag to include spelling variations of the search request text pattern to be checked against the matchable text pattern file. High, Jr. discloses, the search request instruction file includes a spell correct flag to include spelling variations of the search request text pattern to be checked against the matchable text pattern file (col. 5, lines 14-64). It would have been obvious to one having ordinary skill in the art at the time the invention was made to modify in Cochran because such a modification would allow Cochran to compare the temporary index in order to remove the coexisting property names from the property name list and to build a new temporary list of correct spelling variations of the text pattern and to append it to the existing index.

As per claim 8, Cochran and "Computer Solutions" failed to disclose, The method according to claim 6, wherein the search request instruction file includes a missing letters flag to include missing letters in the text pattern to be checked against the matchable text pattern file. High, Jr. discloses, the search request instruction file includes a missing letters flag to include missing letters in the text pattern to be checked against the matchable text pattern file (col. 6, lines 16-35 and fig. 4A). It would have been obvious to one having ordinary skill in the art at the time the invention was made to modify in Cochran because such a modification would allow Cochran to have

comparison operations, logical operations, and set operations to be performed to check the text pattern against the matchable text pattern.

As per claim 9, Cochran and "Computer Solutions" failed to disclose, The method according to claim 6, wherein the search request instruction file includes a transposed letters flag to include transposed letters in the text pattern to be checked against the matchable text pattern file. High, Jr. discloses, the search request instruction file includes a transposed letters flag to include transposed letters in the text pattern to be checked against the matchable text pattern file (col. 5, lines 14-19). It would have been obvious to one having ordinary skill in the art at the time the invention was made to modify in Cochran because such a modification would allow Cochran to have the capability to determine when letters are transposed in the text pattern of the searchable matchable text pattern.

As per claim 21, this dependent claim is rejected for the similar rationale as above for corresponding claim 6.

As per claim 22, this dependent claim is rejected for the similar rationale as given above for corresponding claim 7.

As per claim 23, this dependent claim is rejected for the similar rationale as given above for corresponding claim 8.

As per claim 24, this dependent claim is rejected for the similar rationale as given above for corresponding claim 9.

Conclusion

9. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Charles Northrup (US 5850518) disclosed a pattern matching method name transformation.

Inquiries


10. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ella Colbert whose telephone number is 571-272-6741. The examiner can normally be reached on Monday, Wednesday, and Thursday, 5:30AM-3:00PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Trammell can be reached on 571-272-6712. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Application/Control Number: 09/734,693
Art Unit: 3694

Page 11


ELLA COLBERT
PRIMARY EXAMINER

August 13, 2007


SPE Signature